
 UNITED STATES AIR FORCE AF-01 33 00 (October 2007)
 CCAFS/PAFB -----
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Revised throughout - changes not indicated by CHG tags

SECTION 01 33 00

SUBMITTAL PROCEDURES

10/07

NOTE: This guide specification covers the requirements for general procedures regarding submittals, data normally submitted for review to establish conformance with the design concept and contract documents, called for in other sections of the specifications.

Edit this guide specification for project specific requirements by adding, deleting, or revising text. For bracketed items, choose applicable items(s) or insert appropriate information.

Remove information and requirements not required in respective project, whether or not brackets are present.

Comments and suggestions on this guide specification are welcome and should be directed to the technical proponent of the specification. A listing of technical proponents, including their organization designation and telephone number, is on the Internet.

Recommended changes to a UFGS should be submitted as a Criteria Change Request (CCR).

PART 1 GENERAL

1.1 SUMMARY

Requirements of this Section apply to, and are a component part of, each section of the specifications.

1.2 SUBMITTALS

Five (5) copies of submittal information for all listed items must be submitted on AF Form 3000. Material submittals must be submitted as a complete package for each specification section, ready for the Contracting Officer's approval.

If material and equipment used is exactly as specified in the design documents, then a memorandum of record may be submitted in lieu of a full submittal package for approval.

Submittal Description (SD): Drawings, diagrams, layouts, schematics, descriptive literature, illustrations, schedules, performance and test data, and similar materials to be furnished by the Contractor explaining in detail specific portions of the work required by the contract.

The following items are descriptions of data to be submitted for the project. The requirements to actually furnish the applicable items will be called out in each specification.

SD-01 Preconstruction Submittals

Submittals which are required prior to a notice to proceed on a new contract. Submittals required prior to the start of the next major phase of the construction on a multi-phase contract. Schedules or tabular list of data or tabular list including location, features, or other pertinent information regarding products, materials, equipment, or components to be used in the work, submitted prior to contract notice to proceed or next major phase of construction.

SD-02 Shop Drawings

Submittals which graphically show relationship of various components of the work, schematic diagrams of systems, detail of fabrications, layout of particular elements, connections, and other relational aspects of the work.

SD-03 Product Data

Data composed of catalog cuts, brochures, circulars, specifications and product data, and printed information in sufficient detail and scope to verify compliance with requirements of the contract documents.

SD-04 Samples

Samples, including both fabricated and unfabricated physical examples of materials, products, and units of work as complete units or as portions of units of work.

SD-05 Design Data

Design calculations, mix design analyses, or other data, written in nature, and pertaining to a part of the work.

SD-06 Test Reports

Written reports of a manufacturer's findings of his product during field inspections, attesting that the products are installed in accordance with the manufacturer's installation instructions, shop drawings, or other manufacturer's requirements. Written reports by a general Contractor or his subcontractors including daily logs reporting on the progress of daily activities or attesting that the work has been installed in accordance with the contract plans and specifications.

SD-07 Certificates

A document, required of the Contractor, or through the Contractor by way of a supplier, installer, manufacturer, or other Lower Tier Contractor, the purpose of which is to further the quality or orderly progression of a portion of the work by documenting procedures,

acceptability of methods or personnel, qualifications, or other verification of quality.

Statements signed by responsible officials of a manufacturer of a product, system, or material attesting that the product, system or material meet specified requirements. Statements must be dated after the award of this contract, name the project, and list the specific requirements which it is intended to address.

SD-08 Manufacturer's Instructions

Preprinted material describing installation of a product, system, or material, including special notices and material safety data sheets, if any concerning impedances, hazards, and safety precautions.

SD-09 Manufacturer's Field Reports

A written report which includes the findings of a test made at the job site, in the vicinity of the job site, or on a sample taken from the job site, on a portion of the work, during or after installation. Report must be signed by an authorized official of a testing laboratory or agency and must state the test results; and indicate whether the material, product, or system has passed or failed the test.

SD-10 Operation and Maintenance Data

Data intended to be incorporated in an operations and maintenance manual.

SD-11 Closeout Submittals

Special requirements necessary to properly close out a construction contract. For example, as-built drawings, manufacturer's help and product lines necessary to maintain and install equipment. Also, submittal requirements necessary to properly close out a major phase of construction on a multi-phase contract.

1.3 PREPARATION

1.3.1 Marking

Permanent marking shall be provided on each submittal to identify it by contract number; transmittal date; Contractor's, Subcontractor's, and supplier's name, address(es) and telephone number(s); submittal name; specification or drawing reference; and similar information to distinguish it from other submittals. Submittal identification shall include space to receive the review action by the Contracting Officer.

1.3.2 Drawing Format

Drawing submittals shall be prepared on sheets not less than 8 1/2 inches by 11 inches nor larger than 30 inches by 42 inches in size, except for full size patterns or templates. Drawings shall be prepared to accurate size, with scale indicated, unless other form is required. Drawings shall have dark lines on a white background. Drawings shall be numbered in logical sequence. Contractor may use his own number system.

Copies of each drawing shall have the following information clearly marked thereon:

- a. Job name, which shall be the general title of the contract drawings.
- b. Date of the drawings and revisions.
- c. Name of Contractor.
- d. Name of Subcontractor.
- e. Name of the item, material, or equipment detailed thereon.
- f. Number of the submittal (e.g., first submittal, etc.) in a uniform location adjacent to the title block.
- g. Government contract number shall appear in the margin, immediately below the title block.

1.3.3 Data Format

Required data submittals for each specific material, product, unit of work, or system shall be collected into a single submittal and marked for choices, options, and portions applicable to the submittal. Marking of each copy of product data submitted shall be identical. Partial submittals will be accepted for expedition of construction effort.

1.3.4 Samples

Samples shall be physically identical with the proposed material or product to be incorporated in the work, fully fabricated and finished in the specified manner, and full scale. Where variations in color, finish, pattern, or texture are inherent in the material or product represented by the sample, multiple units of the sample, showing the near-limits of the variations and the "average" of the whole range (not less than 3 units), shall be submitted. Each unit shall be marked to describe its relation to the range of the variation. Where samples are specified for selection of color, finish, pattern, or texture, the full set of available choices shall be submitted for the material or product specified. Sizes and quantities of samples shall represent their respective standard unit.

1.4 SUBMISSION REQUIREMENTS

1.4.1 Submittal Register

The submittal register is furnished at the end of this section. It is a listing of required submittals for this project and should be used for reference. However, Contractor is responsible for providing all submittals required by the specifications and/or drawings. Contractor shall thoroughly examine all contract documents and confirm that all submittal requirements are listed on this register. Any submittal items missing from the register shall be immediately reported to the Contracting Officer. Contractor shall fill out the "Date Due from Contractor" block and submit it to the Contracting Officer within 10 days of contract award.

1.4.1.1 Contractor Use of Submittal Register

Complete the following on the register:

Column (f) Contractor Submit Date; Scheduled date for the Contracting

Officer to receive submittals.

1.4.1.2 Contracting Officer Use of Submittal Register

Construction Management will review the submittal register upon receipt of the initial Contractor input and, if necessary, inform the Contracting Officer of any discrepancies and/or resubmission of Contractor dates.

Construction Management will update the following fields:

Column (g) List date of submittal receipt.

Column (l) List date returned to Contractor.

Contracting Officer will fill out Columns (h) through (k).

1.4.2 Drawing Submittals

Five (5) blackline or blue-line opaque prints of each drawing shall be submitted. One print, marked with review notations by the Contracting Officer, will be returned to the Contractor.

1.4.3 Data Submittals

Five (5) complete sets of indexed and bound product data shall be submitted. One set, marked with review notations by the Contracting Officer, will be returned to the Contractor.

1.4.4 Samples

One set of identified samples shall be submitted. A copy of the transmittal form, marked with review notations including selections by the Contracting Officer, will be returned to the Contractor.

Samples that are intended or permitted to be returned and actually incorporated in the work are so indicated in the individual technical sections. These samples will be returned to the Contractor, at his expense, to be clearly labeled, with installation location recorded. Samples shall be in undamaged condition at the time of installation.

1.5 PROCEDURES FOR SUBMITTALS

1.5.1 Reviewing, Certifying, Approving Authority

Design Engineering shall be responsible for reviewing and approving submittals to ensure that they are in compliance with technical requirements as specified in the SOW.

1.5.2 Constraints

- a. Submittals listed or specified in this contract shall conform to provisions of this section, unless explicitly stated otherwise.
- b. Submittals shall be complete for each definable feature of work; components of definable feature interrelated as a system shall be submitted at same time.
- c. When acceptability of a submittal is dependent on conditions, items, or materials included in separate subsequent submittals,

submittal will be returned without review.

- d. Approval of a separate material, product, or component does not imply approval of assembly in which item functions.

1.6 GOVERNMENT'S REVIEW

1.6.1 Review Notations

Contracting Officer will review submittals and provide pertinent notation. Submittals will be returned to the Contractor with the following notations:

- a. Submittals marked "approved" authorize the Contractor to proceed with the work covered.
- b. Submittals marked "approved as noted" authorize the Contractor to proceed with the work covered provided he takes no exception to the corrections. Notes shall be incorporated prior to submission of the final submittal.
- c. Submittals marked "not approved" or "disapproved" indicate noncompliance with the contract requirements and shall be re-submitted with appropriate changes. No item requiring a submittal shall be accomplished until the submittals are approved or approved as noted.
- d. Contractor shall make corrections required by the Contracting Officer. If the Contractor considers any correction or notation on the returned submittals to constitute a change to the contract drawings or specifications; notice as required under the clause entitled, "Changes" shall be given to the Contracting Officer. Approval of the submittals by the Contracting Officer shall not be construed as a complete check, but will indicate only that the general method of construction and detailing is satisfactory. Contractor shall be responsible for the dimensions and design of connection details and construction of work. Failure to point out deviations may result in the Government requiring rejection and removal of such work at the Contractor's expense.
- e. If changes are necessary to approved submittals, Contractor shall make such revisions and submission of the submittals in accordance with the procedures above. No item of work requiring a submittal change shall be accomplished until the changed submittals are approved.
- f. Government shall have 14 calendar days from date received to respond to submittals.

1.6.2 Sample Approval

Contractor shall furnish, for the approval of the Contracting Officer, samples required by the specifications or by the Contracting Officer. Shipping charges shall be paid by the Contractor. Materials or equipment requiring sample approval shall not be delivered to the site or used in the work until approved in writing by the Contracting Officer.

Each sample shall have a label indicating:

- a. Name of Project

- b. Name of Contractor
- c. Material or Equipment
- d. Place of Origin
- e. Name of Producer and Brand
- f. Specification section to which samples applies.
- g. Samples of furnished material shall have additional markings that will identify them under the finished schedules.

Contractor shall submit to the Contracting Officer one sample of materials where samples are requested. Contractor shall transmit with each sample a letter, original and three copies, containing the above information.

Approval of a sample shall be only for the characteristics or use named in such approval and shall not be construed to change or modify any contract requirements. Before submitting samples, Contractor shall assure that the materials or equipment will be available in quantities required in the project. No change or substitution will be permitted after a sample has been approved.

Materials and equipment incorporated in the work shall match the approved samples. If requested, approved samples, including those which may be damaged in testing, will be returned to the Contractor, at his expense, upon completion of the contract. Samples not approved will also be returned to the Contractor at own expense, if so requested.

Failure of any materials to pass the specified tests will be sufficient cause for refusal to consider, under this contract, any further samples of the same brand or make of that material. Government reserves the right to disapprove any material or equipment which previously has proved unsatisfactory in service.

Variations from contract requirements shall be specifically pointed out in transmittal letters. Failure to point out deviations may result in the Government requiring rejection and removal of such work at no additional cost to the Government.

Samples of various materials or equipment delivered on the site or in place may be taken by the Contracting Officer for testing. Samples failing to meet contract requirements will automatically void previous approvals. Contractor shall replace such materials or equipment to meet contract requirements.

Approval of the Contractor's samples by the Contracting Officer shall not relieve the Contractor of his responsibilities under the contract.

1.7 PROGRESS SCHEDULE

1.7.1 Progress Chart

Contractor shall:

- a. Submit five (5) copies of the progress chart, for approval by the Contracting Officer.

- b. Prepare the progress chart utilizing AF Form 3064 "Construction Progress Chart".
- c. Include no less than the following information on the progress chart:
 - (1) Break out by major headings for primary work activity.
 - (2) A line item break out under each major heading sufficient to track the progress of the work.
 - (3) A line item showing contract finalization task which includes punch list, clean-up and demolition, and final construction drawings.
 - (4) The estimated cost and percentage weight of total contract cost for each materials and labor section on the chart.
- d. Update the progress schedule in one reproduction and 4 copies when requested by the Contracting Officer.

1.8 STATUS REPORT ON MATERIALS ORDERS

Within 21 days after approval of material submittal, Contractor shall submit an initial status report on material orders. This report will be updated and re-submitted as the status on material orders change.

Report shall list, in chronological order by need date, materials orders necessary for completion of the contract. The following information will be required for each material order listed:

- a. Material name, supplier, and invoice number.
- b. Progress chart line item and/or CPM activity number affected by the order.
- c. Delivery date needed to allow directly and indirectly related work to be completed within the contract performance period.
- d. Current delivery date agreed on by supplier.

PART 2 PRODUCTS

Not Used

PART 3 EXECUTION

3.1 GENERAL

Contractor shall provide exactly those materials and equipment as submitted or as indicated in the specifications and drawings. If a material or equipment deviation is elected, it must be approved prior to installation of that item. A deviation is defined as any material or equipment variation, exception, alternate, or departure from contract specifications or drawings. The submittal shall clearly highlight or mark all deviations (in particular, equipment/component electrical requirements and performance characteristics as compared to those in the contract specifications).

If material or equipment to be used and/or installed is exactly as noted in these specifications (model no., manufacturer, option items, etc.), a submittal is not required. Instead, a letter of certification/compliance shall be submitted. The letter of certification/compliance shall reference the pertinent specification paragraph(s).

NOTE: Approval of submittal data by the Contracting Officer containing deviations from the specifications not specifically noted by the Contractor will not constitute approval of such deviations. Discovery of such deviations not noted by the Contractor will immediately rescind any prior approval by the Contracting Officer. Contractor shall then be required to resubmit for approval either corrected submittals noting deviations or new submittals. In the event that unapproved material or equipment deviations have been installed and the Contractor is unable to obtain approval of same, Contractor shall completely remove that material or equipment from the job site and replace with approved material or equipment at no additional cost to the Government.

The rescission of approval may go beyond one piece of equipment or a particular material in cases where compatibility of components is essential in a system affected by a rescission of approval. The extent of removal and replacement shall be at the sole discretion of the Contracting Officer.

-- End of Section --